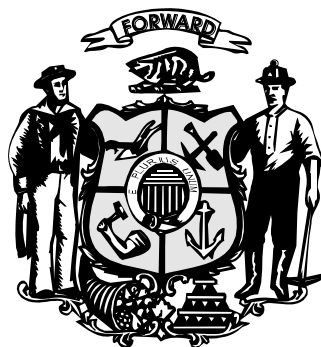


# **General Records Schedule**

## **Payroll & Related Records**

**August 22, 2011**



**For use by  
State of Wisconsin Government Agencies  
RDAs**

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## SCOPE

This general records schedule covers the payroll and related records of classified and unclassified employees of Wisconsin state agencies. It is designed to cover many of the types of records created in the process of planning and carrying out the payroll tasks of an agency or office that are not covered by program-specific or other approved general schedules. This is the first major revision of the Payroll and Related General Records Schedule which was last approved by the Public Records Board for use by state agencies in November, 1997. This document makes changes to many record series based on changes to policies and practices in Wisconsin state government in the 14 years since the document was last released. This retention schedule applies to records in all media.

The broad categories within the document are:

- Central Payroll Electronic Records
- Central Payroll Paper & Microfilm Records
- General Policies and Procedures
- Superseded Records Schedules
- Closed Records Schedules

A companion document, [Introduction to General Records Schedules-Boilerplate, February 2011](http://publicrecordsboard.wi.gov/), located at the Public Records Board web site (<http://publicrecordsboard.wi.gov/>), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

**Note:** If agencies receive electronic copies of subsets of data from any of the Payroll systems or files, they are considered copies and do not need to be retained. *If they are used for other purposes or to create other records, the receiving agency is responsible for creating a separate RDA for that new record.*

| RDA Number                                | Previous RDA Number | Records Series Title                       | Description  | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example   |
|---|---------------------|--|--|--|-----|--------------|--|
| <b>Central Payroll Electronic Records</b> |                     |  |  |  |     |              |  |
| PAY00001                                  | 90200               | <b>TACS Transaction Data</b>               | <p>Series of computer programs that contain batch data files with edited types of leave, work start and stop times, default work schedules and related time and leave transaction data; and categorized earnings types for a two-week period.</p> <p>TACS is used to tabulate time and collection transactions for different groups of employees and includes schedules for elected officials, appointees, and unclassified positions as well as classified employees and LTE's.</p> | <b>Official Copy:</b><br>DOA Central Payroll. Retain batch data for one year after creation (CR+1) and destroy confidential. | Yes | Yes          | <p>Agencies send TACS forms to the Department of Administration for data entry. Agencies also may key input online directly to TACS files or send data through disk, tape or data transfer from their agency time keeping systems.</p> <p>This is a data transaction file containing only the most current time and collection data at any point in time. Batch file collects batches of transactions to maintain for payroll period. Reports are kept on EOS.</p> |
| PAY00002                                  | 90201               | <b>Personnel (WISPER) Transaction Data</b> | File is also called the Employee Data Base (EDB). This data file includes the results of personnel transactions such as hires, transfers, terminations, reclassifications, reallocations, deductions, and other transactions for each employee in the system. Files contain more than 400 data elements for each employee, including appointments, deductions, hours, payroll balances, deduction balances, and related personnel elements.  | <b>Official Copy:</b><br>DOA Central Payroll. Retain data for 45 days after creation (CR+45 days) and destroy confidential.  | Yes | Yes          | Batch file is updated and edited throughout the bi-weekly pay period. The WISPER batch file contains current data that is retained throughout the completion of the last update transaction in the pay period. Each pay period, data in the subsequent batch file updates previous information.  |

| RDA Number | Previous RDA Number | Records Series Title                          | Description   | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|---|---|---|-----|--------------|--|
|            |                     |   |   |   |     |              |  |
| PAY00003   | 90202               | <b>WISPAY – Payroll Transaction Data File</b> | Electronic data file contains such transactions as retroactive adjustments to hours worked, lump-sum pay adjustments, dollar and hour balance adjustments, refunds, wage assignments, check cancellations that are batch processed for overnight update to holding files. | <b>Official Copy:</b> DOA Central Payroll. Retain for 3 months after creation (CR+3 months) and destroy confidential. | Yes | Yes          | Batch file is updated and edited throughout the bi-weekly pay period. The WISPAY batch file contains current data that is retained through the completion of the last update transaction in the pay period.  |
| PAY00004   | New Series          | <b>WISPAY Adjustment Systems.</b>             | Electronic data file containing payroll adjustment data.  | <b>Official Copy:</b> DOA Central Payroll. Retain for 5 years after creation (CR+ 5 years) and destroy confidential.  | Yes | Yes          | <b>WISPAY Source Documents:</b> Series includes but is not limited to the following:<br><ul style="list-style-type: none"> <li>•Gross Salary Adjustment Worksheet, DOA-CP-3</li> <li>•Gross Salary Adjustment, DOA - CP-6 (Military Reporting)</li> <li>•Payroll Adjustment, DOA-CP-8</li> <li>•Manual Cancellations and Supplements, DOA-CP-9</li> <li>•Automatic Check Cancellations, DOA CP-10</li> <li>•AD-CP-16 Leave Accounting Change Authorization File Maintenance Form, or equivalent</li> <li>•Wage Assignment Notice DOA-6120 and Garnishment Action Notice DOA-6149</li> <li>•Payroll Document Transmittal Control Sheet DOA-CP-5 or equivalent</li> <li>•Personnel Document Transmittal</li> </ul> |

| RDA Number | Previous RDA Number | Records Series Title                           | Description  | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|--|--|---|-----|--------------|--|
|            |                     |  |  |   |     |              | DOA-CP-15 or equivalent.   |
| PAY00005   | 90203               | <b>Leave Accounting (L/A) Master File</b>      | <p>Electronic system receives leave transaction data from the WISPAY data file at the end of each biweekly pay cycle. The file is used to process transactions for current leave usage, sabbatical and other long-term leave.</p> <p>During processing, L/A uses data from TACS and other agency time and leave systems and follows leave provisions for different employee groups to generate periodic and cumulative totals for leave usage and leave balances for each employee. The L/A also processes data from AD-19's and F/M (file maintenance) forms. Most processing programs are run biweekly for each pay cycle. Additional periodic processing programs are used to develop annual leave allocations, end-of-year carryover adjustments, etc.</p> | <b>Official Copy:</b><br>DOA Central Payroll. Retain master file of bi-weekly employee leave balances for 15 years after creation (CR+15 years) and destroy confidential. | Yes | Yes          | File is edited and updated at the end of the bi-weekly pay period. The L/A batch file contains current data that is retained through the completion of the last update transaction in the pay period. Each pay period, data in the subsequent batch file updates previous information. |
| PAY00006   | 90203A              | <b>Leave Accounting (L/A) Transaction File</b> | The leave transaction file contains all leave usage and adjustments using the AD-19 form, pay period by pay period. Data from this file is copied onto the Leave History file.   | <b>Official Copy:</b><br>DOA Central Payroll. Retain bi-weekly electronic data file for 45 days after creation (CR+45 days) of  | Yes | Yes          |  |

| RDA Number | Previous RDA Number | Records Series Title                       | Description   | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example   |
|------------|---------------------|--|---|--|-----|--------------|--|
|            |                     |  |   | the transaction file and destroy confidential.   |     |              |  |
| PAY00007   | 90203B              | <b>Leave Accounting (L/A) History File</b> | The leave history file contains 6 months of leave transaction data. Every 6 months, this file is used to create the Leave Accounting History. | <b>Official Copy:</b> DOA Central Payroll. Retain L/A history data in electronic form for 6 months after creation (CR+ 6 months) and destroy confidential provided that the use and retention of the data for any other required purpose has been met. | Yes | Yes          |  |
| PAY00008   | 90204               | <b>Flat File</b>                           | Electronic data file is created after all WISPER and WISPAY processing, it includes data from both WISPER and WISPAY transactions.            | <b>Official Copy:</b> DOA Central Payroll. Retain for 10 years after creation (CR+10 years) and destroy confidential.  | Yes | Yes          | This data file contains the most complete snapshot of the various biweekly payroll processing functions for each employee, including the majority of information on EDB and calculations to arrive at gross and net check amounts. This file also generates Wisconsin Retirement System (WRS) data.<br><br>Retain the electronic flat file data to provide a file of each biweekly pay period. |
| PAY00009   | <b>New Series</b>   | <b>Time &amp; Leave Entry Systems</b>      | Official systems used by employee's to record their time and leave record.  | <b>Official Copy:</b> DOA (PTAWeb) and Official Copy of other Agency   | Yes | Yes          | PTAWeb (retained by DOA)   |

| RDA Number   | Previous RDA Number | Records Series Title           | Description  | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example  |
|--|---------------------|--------------------------------|--|--|-----|--------------|---|
|  |                     |                                |  | systems - retain for 5 years after created (CR + 5 years) and destroy confidential.  |     |              |   |
| PAY00010   | New Series          | Medicare Data Match Report     | Case files developed to establish the government's right to recovery and/or impose other sanctions or corrective actions. Most of these involve pursuing recovery that contractors were unsuccessful with or clarifying Medicare policy. There may also be general correspondence reiterating Medicare policies. | <b>Official Copy:</b><br>Agency Payroll. Place report in inactive file after final action on the case at the close of the calendar year in which final action was taken. Retain 10 years after final action (EVT + 10 years) and destroy confidential. | Yes | Yes          | Disposition authority is a Federal requirement under N1-440-01-05, Item 1.  |
| <b>Central Payroll Paper and Microfilm Records</b> |                     |                                |  |  |     |              |   |
| PAY00011   | 9000010<br>1        | Payrolls and Payroll Registers | Payroll listings showing gross and net pay, as well as deductions for state employees. These are the basis for all salary payments and are referred to on questions of back pay and income taxes. Also includes payroll voucher signature page for each payroll.   | <b>Official Copy:</b><br>Agency Payroll. Creation + 4 years (CR+4 years) and destroy confidential.<br><br><b>Working Copies:</b><br>EVT - When no longer needed.   | Yes | Yes          | Payroll listing<br>Payroll voucher signature page   |
| PAY00012   | 90206               | Payroll Inputs and Reports     | <b>Payroll Inputs and Reports:</b><br>This series groups various source documents and output reports.<br><b>Time &amp; Collection System (TACS) Copies:</b> Includes key source documents for time and   | <b>Official Copy:</b><br>Agency Payroll. Creation + 5 years (CR+ 5 years) and destroy confidential.  | Yes | Yes          | <b>Payroll Inputs and Reports (retained by agencies):</b><br>-Time and collection System (TACS) forms or equivalent<br>-Paid Overtime Documentation<br>-Leave Request and Reporting<br>-Agency Transaction Reports from |



| RDA Number | Previous RDA Number | Records Series Title | Description   | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example  |
|------------|---------------------|----------------------|---|--|-----|--------------|---|
|            |                     |                      | <p>collection system. Copies of these are also provided for the supervisor and the employee. The employee's copy is the employee's personal property.</p> <p><b>Paid Overtime</b><br/> <b>Documentation:</b> Includes Paid Overtime Report, or equivalent, listing employees paid overtime during the pay period is generated by Central Payroll office on a biweekly basis. Report provides detailed documentation of overtime payments.</p> <p><b>Leave Request &amp; Reporting:</b> Documents used to request and/or report leave. Leave Request/Report form AD-19 or equivalent, is used by employee to request leave time and/or report leave taken. This series documents employee report and management authorization for scheduling leave and accounting for type of leave taken. The employee, the supervisor and others may receive copies of this form.</p> <p><b>Agency Transaction Reports - Central Payroll:</b> Includes bi-weekly and occasional reports generated from DOA Central Payroll database and provided to agencies. Reports document transactions, adjustments, and reconciliations for the pay period.</p> <p><b>WISPER Source Documents:</b> Records include various DOA</p> | <p><b>DOA Central Payroll Copy:</b> Event (EVT varies from after superseded, after entered and verified, or after superseded or after a period between 1 pay period - 1 year) and destroy confidential.</p> <p><b>Working Copies:</b> Includes Supervisor's copy. When not needed, not to exceed 1 year.</p> <p>See PAY00009 for electronic retention.</p> |     |              | <p>DOA Central Payroll<br/> -WISPAY Source Documents (request salaries and payroll adjustments)</p> <p><b>Time &amp; Collection System (TACS) Forms:</b> Retention of the following forms is based on FLSA requirements.</p> <ul style="list-style-type: none"> <li>• Leave Report, AD-TACS-1 or equivalent</li> <li>• Time Report, AD-TACS-2 or equivalent</li> </ul> <p><b>Agency Transaction Reports</b><br/> <b>Central Payroll:</b> Records include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>• WRS Subsystem Transaction Report</li> <li>• WRS Subsystem Adjustments Report</li> <li>• WRS Subsystem Reconciliation Report</li> <li>• EPA (Exceptional Performance Award) and Relocation (Lump Sum DCA) Incentive Award Report</li> <li>• Equity Interim Merit Report (DCA)</li> <li>• Excessive FLSA Rate Report</li> <li>• Exempt Employees Claiming Leave Without Pay Report</li> <li>• WRS Detail Reconciliation Report - Quarterly</li> </ul> <p>WISPER Source Documents:</p> <ul style="list-style-type: none"> <li>• Deduction Authorization Report (DAR), DOA-CP-12C</li> <li>• Personnel Turnaround Document (PTD), DOA-CP-14C</li> </ul> |

| RDA Number | Previous RDA Number | Records Series Title                                  | Description  | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|---|--|---|-----|--------------|--|
|            |                     |   | Central Payroll adjustment and cancellation forms used by agencies to request adjustments to salaries and payroll deductions.  |   |     |              |  |
| PAY00013   | 90207               | <b>TACS Validation &amp; File Maintenance Reports</b> | <p>Series includes reports used to monitor time, leave and other payroll functions, including:</p> <p><b>Validation Audit Trail Report,</b> or equivalent, listing employee time reported. The report is generated by DOA Central Payroll office, on a biweekly basis. It provides a detailed accounting of employee time actions.</p> <p><b>L/A Bi-Weekly File Maintenance Reports:</b> Includes various leave accounting forms and reports, used to add, delete and update information in the Payroll system.</p> <p><b>Central Payroll Bi-weekly &amp; Annual Reports:</b> Includes various bi-weekly and annual reports generated from the DOA Central Payroll system, on a bi-weekly, quarterly or annual basis and provided to agency Payroll personnel. Information in the database is extracted according to various sorts and used for easy reference purposes.</p> | <p><b>Official Copy:</b> Agency Payroll. Retain for 5 years after creation (CR+5 years) and destroy.</p> <p><b>DOA Central Payroll Copy:</b> Retain for 5 years after creation (CR+5 years). .</p> <p><b>Working Copies:</b> Destroy when not needed.</p> | Yes | Yes          | <p><b>L/A Bi-Weekly File Maintenance Reports:</b> Records include the following forms and outputs.</p> <ul style="list-style-type: none"> <li>•Leave Accounting Transaction Processing Error Report</li> <li>•Leave Accounting File Maintenance Report (EOS)</li> </ul> <p><b>Central Payroll Bi-weekly &amp; Annual Reports:</b> Records include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>•Processor Exception Report</li> <li>•Fringe Benefit Summary Report</li> <li>•Fringe Benefit Detail Report</li> <li>•LTE Tracking System</li> <li>•Length of Service Pay Report - Annual (after retention is met, this will no longer exist)</li> <li>•WRS Transaction Annual Report-Terminated Employees (after retention is met, this will no longer exist).</li> <li>•Leave Accounting Eligible Hours For Ensuing Year</li> <li>•Health, Life, ICI Worksheets</li> <li>•UC (Unemployment Compensation) Gross Earnings/Taxable Wage Report (goes electronically to UC quarterly via EOS)</li> <li>•Term Sabbatical Report</li> <li>•Central Payroll Data Validation Error Report</li> </ul> |

| RDA Number | Previous RDA Number | Records Series Title                           | Description  | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example  |
|------------|---------------------|--|--|---|-----|--------------|---|
| PAY00014   | 90208               | State Payroll System Routine Forms and Reports | Records in this series include forms and reports used to maintain information in the State Payroll system. Information from documents is captured in the Payroll database and is needed only until the next pay period's reports are issued. | <p><b>Official Copy:</b><br/>Agency Payroll. Retain until Event (EVT is either resolved, verified, superseded or between 1 to 6 pay periods) and destroy.</p> <p><b>Agency and Working Copies:</b><br/>Destroy when no longer needed (until superseded by the next reporting cycle unless there is an outstanding issue that requires retention until the issue is resolved).</p> | Yes | Yes          | <p>Series includes but is not limited to the following:</p> <p><b>Time &amp; Collection Maintenance Documents:</b> Includes the following:</p> <ul style="list-style-type: none"> <li>•DOA Central Payroll-generated Reports (all are EOS reports): <ul style="list-style-type: none"> <li>-Conversion Audit Trail: report by leave type, generated for some, <u>not all</u>, agencies.</li> <li>-Time and Attendance Error Report</li> <li>-Time and Attendance Warning</li> <li>-Employee Schedule Listing</li> <li>-Employees Paid in More Than One Appointment</li> </ul> </li> </ul> <p><b>L/A Bi-Weekly Routine Reports:</b><br/>Includes routine reports generated by DOA Central Payroll for the purpose of verifying data entered into the Payroll database. Records include the following:</p> <ul style="list-style-type: none"> <li>•L/A List of Credit Balances (overdrawn leave)</li> <li>•L/A Unused Vacation/ Holiday/ Compensatory Time (BLS) (EOS)</li> <li>•Supervisory Position Listing (BLZ) (EOS)</li> <li>•L/A File Maintenance Edit/Error Report (Paper only)</li> <li>•Leave Accounting Notice AD-20 (obsolete)</li> </ul> <p><b>Routine Withholding Authorizations and File Maintenance Copies:</b> Includes copies of withholding authorizations</p> |

| RDA Number | Previous RDA Number | Records Series Title          | Description   | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example  |
|------------|---------------------|-------------------------------|---|--|-----|--------------|---|
|            |                     |                               |   |  |     |              | that initiate file maintenance adjustments to an employee's pay amounts. Records in this series are the <u>copies</u> used to initiate payroll actions. Additional official copies of records are maintained as separate records series to administer wage assignment and garnishment functions, manage charity campaigns, authorize parking, etc. Employees may also receive copies.                                 |
| PAY00015   | New Series          | Levy and Garnishment Files    | Records consists of state employee wage actions for state or federal court ordered wage assignments or earning garnishments, federal IRS levies and Wis. Dept. of Revenue liens.  | <b>Official Copy:</b><br>DOA Central Payroll. EVT + 3 years (Event is levy or garnishment is terminated).<br><br>This is consistent with Federal requirement N1-GRS-92-4 item 18.                          | Yes | Yes          | Change slips, work papers, correspondence, release and other forms, and reports for State and Federal wage assignments or garnishments (IRS Form 668A or equivalent).<br><br>Reports show each individual state employee's name, department of employment, gross earnings, plaintiff/creditor name and/or amounts deducted.   |
| PAY00016   | 90209               | Payroll/Leave History Reports | Records series consists of reports generated from the DOA Central Payroll database and that provides detailed history of bi-weekly payroll and leave transactions. Reports capture payroll and leave data and provide a "snapshot in time" of transactions. For long-term protection of employee-specific data that may affect employee leave, salaries or retirement benefits, reports are | <b>Official Copy:</b><br>DOA Central Payroll. Creation plus 15 years. (CR+ 15 years) and destroy.<br><br><b>Agency Copies:</b><br>Agency Payroll copy. Creation plus 10 years and destroy. (CR + 10 years) | Yes | Yes          | Records in this series include, but are not limited to, the following:<br><br><ul style="list-style-type: none"> <li>•Payroll Register</li> <li>•Leave Accounting History Fiche Bi-Weekly</li> <li>•Leave Accounting Alpha Listing: Alpha list of employees. Bi-Weekly</li> <li>•Leave Accounting Waitfile Bi-weekly</li> <li>•Leave Accounting Transaction File Bi-weekly</li> <li>•Leave Accounting File</li> </ul> |

| RDA Number | Previous RDA Number | Records Series Title                        | Description  | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example  |
|------------|---------------------|---|--|--|-----|--------------|---|
|            |                     |   | generated to computer output microfiche (COM), with master COM maintained in Central Payroll. Reports include those generated biweekly and annually if they are needed to provide a long-term information audit trail of transactions by a number of key fields. | <b>Working Copies:</b><br>When not needed. Agencies may receive copies of the history reports which are considered working copies and should be maintained only briefly.   |     |              | Maintenance Bi-weekly<br><ul style="list-style-type: none"> <li>•Statistical Leave Analysis Report Bi-weekly</li> <li>•Leave Accounting Report Pay period ending 6/30 Annual</li> <li>•Leave Accounting Report Pay period ending 12/31 Annual</li> <li>•Employee Benefits Statement Annual (EOS)</li> <li>•W2 Final Report Annual</li> <li>•Wage &amp; Tax Statement (W-2 Report) Annual</li> <li>•Bi-weekly Year to date Proof</li> </ul>  |
| PAY00017   | 90210               | <b>Payroll File Maintenance &amp; Dumps</b> | Items in this series generally have a short-term value, to control batch processing, transmit information, verify data entry to the data files, etc.   | <b>Official Copy:</b><br>DOA Central Payroll. EVT (superseded, verified, or 1-3 pay periods) and destroy.<br><br><b>Agency Copy:</b><br>Agency Payroll. Retain until EVT (1 pay period or no longer needed) and destroy.<br>NOTE: Agencies do not receive copies of all reports listed in this series.<br><br><b>Working Copies:</b><br>When not needed. | Yes | Yes          | Series includes the following:<br><br><b>Central Payroll Routine File Maintenance &amp; Dumps:</b> Includes routine reports generated bi-weekly by the DOA Central Payroll system and used to provide file maintenance information on valid additions, errors and deletions to the database. Agency Payroll staff do <u>not</u> receive copies of these items. Reports include but are not limited to the following:<br><br><ul style="list-style-type: none"> <li>•Net Check Registers</li> <li>•Mini DOA Register</li> <li>•WISPER Dump</li> <li>•WISPAY Dump</li> <li>•Leave Accounting Transaction File Edit Error Report</li> <li>•Payroll Error Register</li> <li>•Alpha Statewide Report</li> <li>•Social Security Listing Statewide Report</li> <li>•Deduction Update Transaction Error Report</li> </ul> |

| RDA Number | Previous RDA Number | Records Series Title                   | Description   | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example  |
|------------|---------------------|--|---|--|-----|--------------|---|
|            |                     |  |   |  |     |              | •W2 Preliminary Report  |
| PAY00018   | 90211               | Central Payroll Routine Reports        | Records series includes routine reports generated for Central Payroll program management purposes.              | <p><b>Official Copy:</b><br/>DOA Central Payroll. Creation + 1 year (CR+1 year) and destroy.</p> <p><b>Agency Copy:</b><br/>Agency Payroll. Retain until EVT (no longer needed or superseded by final report) and destroy. NOTE: Agencies do not receive all reports listed in this series.</p> <p><b>Working Copies:</b><br/>Destroy when not needed.</p> | No  | No           | <p>Includes:</p> <p><b>Bi-weekly Consistency and Maintenance Reports:</b> Consists of reports generated bi-weekly from the Central Payroll database. Reports are used by DOA Central Payroll staff and are not distributed to agency Payroll personnel. Records include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>•Consistency Tests WISPER YTD Gross</li> <li>•Flat File Inconsistency Report</li> </ul> <p><b>Agency Preliminary Reports - Annual or Other:</b> Contains reports generated from the Central Payroll database to provide preliminary data to agencies prior to generation of final reports or checks, including:</p> <ul style="list-style-type: none"> <li>•Preliminary Credits To Term Sabbatical Report</li> </ul> |
| PAY00019   | 90212               | Central Payroll Administrative Reports | Series includes various reports generated for the DOA Central Payroll to administer the Central Payroll System. | <p><b>Official Copy:</b><br/>DOA Central Payroll. Creation + 2 years (CR+2 years) and destroy.</p> <p><b>Agency Copy:</b> If copy received, treat as working copy.</p>   | No  | No           | <p>Including the following:</p> <p><b>Bi-Weekly Totals Reports:</b><br/>Includes DOA Central Payroll reports generated biweekly to provide information for Central Payroll. Agencies do not receive copies of most reports in this series.</p> <ul style="list-style-type: none"> <li>•Deduction Authorization Summary</li> </ul>   |

| RDA Number | Previous RDA Number | Records Series Title                        | Description  | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|---|--|---|-----|--------------|--|
|            |                     |   |  | <b>Working Copies:</b><br>Destroy when not needed.  |     |              | <p>Report</p> <ul style="list-style-type: none"> <li>•Personnel Turnaround Summary Report By Agency</li> <li>•ERA Deduction Totals Report</li> <li>•Bi-Weekly Department Summary Report</li> <li>•Checks-State Treasurer Report</li> <li>•Deferred Compensation Totals Report</li> </ul> <p><b>Central Payroll Annual/Quarterly Reports:</b> Includes reports generated on an annual or quarterly basis from the Central Payroll database and used only within DOA Central Payroll. Includes but is not limited to the following:</p> <ul style="list-style-type: none"> <li>•Dual Employment Report:</li> <li>•Deferred Compensation Over Deferral Report: Deferred Comp</li> </ul> |
| PAY00020   | 90213               | <b>Central Payroll Accounting Documents</b> | Records series consists of reports and correspondence that have fiscal audit values related to transfers of payroll funds. Series documents issues and concerns related to transfer of funds to banks for state payroll, reports that total deduction totals and other summary accounting reports that provide backup documentation to support the WISMART system. | <p><b>Official Copy:</b><br/>DOA Central Payroll. Current fiscal year plus 4 previous fiscal years (FIS + 4 years).</p> <p><b>Agency Copy:</b> If copy received, treat as working copy.</p> <p><b>Working Copies:</b><br/>Not needed.</p> | No  | No           | <p>Items in this series include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>•Electronic Deposit Correspondence between Central Payroll and banks that deposit employee paychecks through electronic deposit.</li> <li>•ACH Cancellation Notice from bank.</li> </ul>  |
| PAY00021   | 90214               | <b>Employee Payroll &amp;</b>               | Records series includes various documents that are maintained  | <b>Official Copy:</b><br>Agency Payroll.  | Yes | Yes          | Includes:<br><b>Withholding Agreements:</b>  |

| RDA Number | Previous RDA Number | Records Series Title                  | Description  | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|---------------------------------------|--|---|-----|--------------|--|
|            |                     | <b>Benefit File - Agency Specific</b> | <p>in the agency Payroll office throughout the employee's term of employment in that particular agency.</p> <p>Under the current payroll system, these documents are the responsibility of the employing agency. When employees leave one agency to transfer to another, they complete new withholding authorization and certain benefit forms that are covered in this series. The agency is <u>required</u> to maintain these documents for potential audit or legal purposes throughout the individual's employment in the agency <u>and</u> for seven years after the employee leaves for any purpose, including:</p> <p>-transfer to another state agency <u>or</u><br/> -termination of state service- retirement, death, or termination.</p> <p><b><i>Agencies are advised to maintain an individual Payroll &amp; Benefit Record File for each employee, containing these documents. It is <u>not</u> the same as the Personnel file. Alternatively, agencies may choose other filing methods so long as they meet <u>retention periods required for items in this series.</u></i></b></p> | <p>During the employee's tenure in the agency, and for 7 years after the employee leaves the agency due to retirement, transfer or termination (Event+7 years and destroy).</p> <p><b>Working Copy:</b><br/> Destroy when not needed.</p> |     |              | <p>Records in this group include forms and agreements filed by each employee authorizing withholding of income from paychecks. Includes, but is not limited to the following agreement forms and authorizations:</p> <ul style="list-style-type: none"> <li>•W-4 Federal Withholding Allowances</li> <li>•WT-4 State Withholding Allowances</li> <li>•WT-4A State Employee Withholding Agreement</li> <li>•W-5 Earned Income Credit</li> <li>•ERA Program Automatic Premium Conversion Waiver/Revocation of Waiver, form ET-2340</li> <li>•ERA Family Status Change</li> <li>•Electronic Deposit Authorization (keep only most current copy)</li> <li>•Union Dues Authorization Card (keep only most current copy)</li> </ul> <p><b><i>Agency Copies - Non-ETF Voluntary Insurance Forms:</i></b><br/> Includes application, enrollment and <u>evidence of insurability</u> forms for insurance programs that are <u>not</u> administered by the Department of Employee Trust Funds. Items include application and change forms for such insurances as dental, accidental death, major medical, etc.</p> <p>While insurance carriers will have policies on file for each enrollee in the program, the employing agency should maintain <u>copies</u> in this</p> |



| RDA Number | Previous RDA Number | Records Series Title  | Description  | Minimum Retention and Disposition  | PII | Confidential | Use Case/Example   |
|------------|---------------------|---|--|--|-----|--------------|--|
|            |                     |   | See page 20 for sample list of ETF Benefit related forms.  |  |     |              | series.<br><br>The employee also receives copies of items in this series for his or her own records.   |
| PAY00022   | 90215               | <b>Employee Payroll Document Case Records- Transfer to New Agency</b> | <p>Under the current payroll system, when employees leave one agency to transfer to another, they do not complete new withholding agreements or authorization forms for the items that are covered in this series. Instead, the new agency will continue to follow payroll withholding procedures as established in these agreements. Unless the employee submits a change, this records series includes only those few withholding authorizations and agreements for which employees do not complete new forms and agreements upon transferring to a new agency.</p> <p>These records are needed to provide source documentation of the employee's payroll agreements and should be forwarded along with the Personnel Transfer Record to the new agency.</p> | <p><b>Official Copy: Employee Moves to New Agency.</b> Agency Payroll. EVT (employee termination with the agency) - forward with Personnel Transfer Record to new agency. (Agencies <u>must</u> keep a copy of all benefit related documents before transferring the original file to the new agency in the event of any corrections needed, etc. and retain them for 7 years. See PAY00021 for additional information.)</p> <p><b>Employee Term From State Service:</b> Follow retention for record series RDA PAY00021.</p> <p><b>Working Copies:</b> Destroy when not</p> | Yes | Yes          | The employing agency should maintain these key documents throughout the employee's tenure in the agency and forward documents to the subsequent employing agency. If the employee leaves state service, include items in RDA PAY00021. |

| RDA Number | Previous RDA Number | Records Series Title                                | Description   | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|------------|---------------------|---|---|---|-----|--------------|--|
|            |                     |   |   | needed.   |     |              |  |
| PAY00023   | 90216               | Tax Reports   | <p>Records series includes forms and reports related to employees' federal and state income tax withholding activities and documentation of withholding.</p> <p>This series also includes MILITARY PAY VOUCHERS that are created for employees receiving pay for active or reserve military service.</p> <p>Each state agency is responsible for maintaining records of its employees' tax withholding records. The Wage and Tax Statement (RDA PAY00016) also provides documentation of tax withholding for each employee.</p> | <p><b>Official Copy:</b> Agency Payroll. Retain 4 years from due date or date filed or paid, whichever is later, and destroy. This is in accordance to Federal and State retention requirements.</p> <p><b>Working Copies:</b> Destroy when not needed.</p> | Yes | Yes          | <p>Series includes but is not limited to the following forms and reports:</p> <ul style="list-style-type: none"> <li>• Employer's Quarterly Federal Tax Return</li> <li>• Federal Bi-Weekly Tax Deposit Coupon,</li> <li>• Payment Voucher</li> <li>• Statement to Correct Information</li> <li>• Corrected Income &amp; Tax</li> <li>• Transmittal of Corrected Income and Tax</li> <li>• Wisconsin Tax Deposit Report Coupon</li> <li>• Employers Annual Reconciliation</li> <li>• Certificate of Exemption (Prepayment of Taxes),</li> <li>• Federal Income Tax, Social Security, Medicare Bi-Weekly Reports</li> </ul> |
| PAY00024   | 90217               | Summary Reports of Benefits Programs- Agency Copies | <p>Records series includes copies of summary reports of benefit programs that are administered by the Department of Employee Trust Funds (ETF) and other insurance carriers as listed below.</p> <p><i>Summary Reports to/from, ETF-Agency Copies:</i> This group of records includes various summary reports required to be sent to ETF by employing agencies. Reports are used to</p>   | <p><b>Official Agency Copy:</b> Agency Payroll Office: Creation and 7 years (CR+7 years) and destroy .</p> <p><b>Working Copies:</b> Destroy when not needed.</p>   | Yes | Yes          | <p>Series includes but is not limited to the reporting forms listed on page 21.</p> <p>Agencies <u>must</u> retain copies of reports sent to ETF if applicable to employees in their agency for seven years in order to correct information reported if necessary.</p> <p><i>Summary Reports of Other Insurances:</i> This group of record covers agency copies if summary reports to or from administrators of</p>  |

| RDA Number                               | Previous RDA Number | Records Series Title                            | Description   | Minimum Retention and Disposition   | PII | Confidential | Use Case/Example   |
|--|---------------------|---|---|---|-----|--------------|--|
|  |                     |   | <p>remit funds and provide information on benefits accrued in ETF-administered programs, including WRS, ERA, health, life, and ICI insurance's. Agencies have 7 years in which to correct information provided in the reports. <u>This series applies to agency copies of documents, not ETF records.</u></p> <p>ETF also maintains an official copy of these records in:</p> <ul style="list-style-type: none"> <li>•RDA 515/00019, WRS Employer Transaction Reports: CR+40 years and destroy confidential</li> <li>•RDA 515/00037. Life/ICI/Health Remittance Reports: CR+7 years and destroy confidential</li> </ul> |   |     |              | <p>other insurance programs. Reports include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>•Dental Insurance reports</li> <li>•Accidental Death and Dismemberment (AD&amp;D) reports</li> <li>•Major Medical, Catastrophic, Life Insurance (John Deere/Epic) reports.</li> </ul> <p>Insurance carriers maintain the official records of these items. This series covers the agency copies only.</p> |
| PAY00025                                 | New Series          | Unemployment Compensation Files                 | Records includes requests and state action associated with state staff requesting Unemployment Compensation when there are layoffs or LTE assignments end.  | <b>Official Copy</b> – Creation + 5 years (CR+5) and destroy confidential | Yes | Yes          | These files may include, but are not limited to the following: Request to Employer for Wage and Separation Information (ETA-931), Notice of Determination or Redetermination (UCB-20), Check stubs, Earnings History Report, etc.  |
| <b>General Policies &amp; Procedures</b> |                     |   |   |   |     |              |  |
| PAY00026                                 | New Series          | Procedures Relating to State Payroll Operations | Established high level procedures associated with Payroll operations as established by DOA and  | <b>Official Copy</b> - Retain until superseded and destroy.               | No  | No           | Payroll Procedure Manual   |

| RDA Number | Previous RDA Number | Records Series Title | Description   | Minimum Retention and Disposition                                     | PII | Confidential | Use Case/Example |
|------------|---------------------|----------------------|---|---|-----|--------------|------------------|
|            |                     |                      | agencies with delegated authority to perform specific Payroll operations. | <b>Working Copies –</b><br>Retain until no longer needed and destroy. |     |              |                  |

## RDA NOTES & ADDITIONAL INFORMATION

**PAY00021 (formerly 90214):** Agency Copies of ETF Benefit Documents: This group of records includes various application, enrollment and maintenance records that State employees use to participate in various benefit programs administered by the State Department of Employee Trust Funds (ETF) and non-ETF benefit programs. This series applies to agency copies of documents, not ETF records. Agency copies are considered official copies which should be retained for 7 years after the employee terminates/leaves/retires (see PAY00021 for further details).

ETF maintains an official copy of records listed below in the ETF Participant files of the department for the duration of the individual's term of employment with the state and/or annuity payment and for the following periods of time thereafter:

\*RDA 515/00022 & 00022A, Death Benefit Participant Files: EVT (Closed by Death or Expired) + 25 years.

\*RDA 515/00023 & 00023A, Separation Benefit Participant File: EVT (Closed by Separation Benefit or Single Sum Annuity) + 50 years.

Records document the employee's participation in the Wisconsin Retirement System (WRS), health insurance, life insurance, income continuation insurance (ICI), and certain other disability programs. Note: records in this series are confidential by ss. 40.07 Wis. Stats. Series may include but are not limited to the following forms:

- Group Life Insurance Continuation Notice, ET-2154
- Health Insurance Application/Change, ET-2301
- Life Insurance Application/Cancellation/Refusal, ET-2304
- Evidence of Insurability/Application – Group Life Insurance, ET-2305
- Income Continuation Insurance Application, ET-2307
- Evidence of Insurability/Application – Income Continuation Insurance, ET-2308
- Election to Reduce Amount of Life Insurance, ET-2309
- Continuation/Conversion Notice: Health Insurance, ET-2311
- Wisconsin Retirement System Enrollment, ET-2316
- Rehired Annuitant Election, ET-2319
- Employee Identification Correction/Change, ET-2810
- Life Insurance Continuation/Conversion Eligibility After Termination, ET-4203
- Sick Leave Escrow Application, ET-4305
- Accumulated Leave Certification, ET-4306
- Group Life Insurance Certification of Coverage, ET-4802
- Disability Medical Report, ET-5303

- Request for Life Insurance Disability Premium Waiver, ET-5306
- Request for Accumulated Leave Certification (Sick Leave), ET-5402
- Group Life Insurance Coverage During Disability, ET-5806
- Income Continuation Insurance Report of Employment and Earnings, ET-5901
- Notice of Death, ET-6301
- Notice of Death for Spouse or Dependent Child (Life Insurance), ET-6303
- Benefit Information Request, ET-7301

**Note:** The ETF Participant account records contain additional types of forms. However, the above lists most payroll-related forms. The employee also keeps copies of many items above for his or her own record.

**PAY00024 (formerly 90217)** (examples of reporting forms retained in employer records at ETF):

- Monthly Retirement Remittance Report, ET-1515
- ERA/Commuter Benefit Remittance Report, ET- 1516
- Over/Underpayment and/or Interest Due Notice, ET-1517
- ERA Expense Account Continuation Election, ET-1518
- Monthly State Employee's Health Insurance Coverage Report, ET-1607
- State Health Insurance Summary Report, ET-1608
- Annuitant Health Insurance Monthly Coverage Report, ET-1609
- Group Life Insurance Collection Report, ET-1610
- Monthly Premium Report Group Income Continuation Insurance (State and Non-Faculty), ET-1611
- Monthly Premium Report Group Income Continuation Insurance (UW Faculty), ET-1612
- Employee Transaction Report, ET-2533
- Group Health Insurance Monthly Additions Report, ET-2610
- Group Health Insurance Monthly Deletions Report, ET-2612
- Group Health Insurance Monthly Changes Report, ET-2614

**Both the agency copy and copies sent to ETF are official copies.** Agency Payroll copies should be kept for 7 years after created and destroy (see PAY00024 for further details).

## Superseded Records Series

| RDA Number or Comment   | Previous RDA Number | Record Series Title                   | Description   | Retention   | PII | Confidential | Use Case/Example                           |
|---|---------------------|---------------------------------------|---|---|-----|--------------|--|
| <b>Superseded by PAY00011, Payrolls and Payroll Registers.</b><br>This records series and retention is the same – it is just being moved to the Payroll and Related Records GRS.  | 90000101            | <b>Payrolls and Payroll Registers</b> | Payroll listings showing gross and net pay, as well as deductions for state employees. These are the basis for all salary payments and are referred to on questions of back pay and income taxes. Also includes copies of the payroll voucher signature page for each payroll.  | <b>Official Copy</b><br>– Agency Payroll.<br>Creation + 4 years (CR+4 years) and destroy confidential.<br><br><b>Working Copies</b> – EVT<br>- When no longer needed. | Yes | Yes          | Payroll listing<br>Payroll signature pages |
| <b>Superseded by Payroll and Related Records General Schedule, PAY00015, Levy and Garnishment Files.</b><br>The new retention in PAY00015 is consistent with Federal requirement N1-GRS-92-4 item 18 for these records. | 90000103            | <b>Wage Action Related Records</b>    | State employee wage actions consist of state or federal court ordered wage assignments or earning garnishments, federal IRS levies and Wisconsin Department of Revenue liens. The State of Wisconsin Employees with wage assignments report contains all state employees whom have automated wage assignments. The report shows each individual state employee's name, department of employment, kids pin, gross earnings, and the amount deducted for the wage assignment. The State of Wisconsin Employee garnishment payment report contains automated wage garnishments. The report shows each individual employee's name, department of employment, plaintiff/creditor name and the garnishment amount declared. | <b>Official Record</b> – CR + 50 and destroy  | Yes | Yes          |  |

## Other Payroll Related Records Series in the Fiscal & Accounting General Schedule:

| Comment  | RDA Number | Records Series Title   | Description   | Retention  | PII | Confidential | Use Case/Example |
|--|------------|--|---|--|-----|--------------|------------------|
| This records series resides in the Fiscal and Accounting GRS as they are supporting documentation for payments issued through the accounting system and are retained with the financial documents. | 90000100   | <b>Supplemental Payroll Vouchers</b>                             | The payroll voucher is used to certify the gross salaries earned, various statutory deductions (either voluntary or mandatory) and net take-home pay for each person employed in a department. Legislative agencies use this payroll form for their monthly payroll. Supplemental payrolls are prepared by the agency payroll office when an employee is over or underpaid or if a paycheck was not generated for an employee on the payroll system. Payroll vouchers must have an authorized signature and must be submitted to DOA for audit and payment. Form DOA 6110 or equivalent is used for this purpose. Documentation may be attached to the submittal. | <b>Official Copy</b><br>– Current fiscal year + 6 years (FIS+6) and destroy.<br><br><b>Working Copies</b> – EVT, until no longer needed and destroy. | Yes | Yes          |                  |
| This records series resides in the Fiscal and Accounting GRS as they are supporting documentation for payments issued through the accounting system and are retained with the financial documents. | 90000102   | <b>Central Payroll Bi-Weekly Payroll Voucher Signature Pages</b> | The official signed payroll authorization for each state agency.  | <b>Official Copy</b><br>– Current fiscal year + 6 years (FIS+6) and destroy.   |     |              |                  |

## Closed Records Series

| RDA Number or Comment  | Record Series Title | Description  | Retention   | PII | Confidential | Use Case/Example   |
|--|---------------------|--|---|-----|--------------|--|
| <b>90205</b><br><br><b>This record series is a subset of PAY00008 and is a copy of the original record. If agencies use the data for other purposes they are responsible for scheduling those records based on what they are using/keeping the data for.</b><br><br><b>OSER Roster is now covered in the HR Schedule, HR000202.</b><br><br><b>PMIS is covered in the Budget Schedule, BUDG005.</b> | <b>Updated File</b> | <p>The updated file contains certain data extracted from the flat file, which is the source data, and used specifically to update the following other data systems:</p> <ul style="list-style-type: none"> <li>• <i>OSER Roster: OSER</i> (Office of State Employment Relations) maintains a statutory roster of State employees, containing a career history for each classified and unclassified employee in State service. The roster does <u>not</u> include data on personnel employed by the University of Wisconsin or Limited Term Employees (LTE's). See Personnel General Schedule for more information.</li> <li>• <i>PMIS - Personnel Management Information System:</i> This is a Statewide position tracking system for monitoring of numbered positions. State Budget Office staff use data to monitor and report on positions and for related budgeting purposes.</li> </ul> | Official Copy – DOA Central Payroll. Retain bi-weekly pay period data for 10 years after creation (CR+10 years) and destroy confidential. | Yes | Yes          | DOA Central Payroll creates copies of data for specific agencies to copy into agency-specific electronic files. Agencies should establish specific retention schedules for agency specific electronic payroll records that are not covered by this general schedule. |



## Appendix 1: Summary of Approved Statewide General Records Schedules

|   |  |
|---|--|
|    | Administrative Records General Schedule (August 2008-Rev Aug 2010)                                       |
|    | Budget and Related General Record Schedule (March 2002)  |
|    | Common Records In Wisconsin Local Units of Government (For Local Units Of Government Only-November 2009) |
|    | Facilities Management General Schedule - Feb 2010 - (For Use By All Units of Government)                 |
|    | Fiscal & Accounting Related Records General Schedule (June 2006)   |
|    | Fiscal & Accounting Related Records General Schedule (June 2006)   |
|    | Forms Management General Schedule (August 2006)  |
|    | Human Resources and Related General Schedule (November 2010)   |
|    | IT Business Records General Schedule (May 2008)  |
|    | IT Business Records General Schedule (May 2008)  |
|    | Library Operations General Schedule (August 2006)  |
|    | Library Operations General Schedule - PDF (August 2006)  |
|    | Mail & Messenger Services General Schedule (August 2006)   |
|    | Mail & Messenger Services General Schedule - PDF (August 2006)   |
|  | Motor Vehicle Management Records General Schedule (May 1999)   |
| FTP   | Payroll & Related General Schedule (November 1997)   |
|  | Purchasing & Procurement General Schedule (April 2003)   |
|  | Records Management General Schedule (August 2006)  |
|  | Wisconsin Public Library General Schedule (February 2006)  |
|  | Wisconsin School Districts (revised - May 2010)  |
|  | Workers Compensation General Schedule (July 1997)  |

General schedules are listed as a major category on the Public Records Board Home Page –

[http://publicrecordsboard.wi.gov/Docs\\_by\\_cat\\_type.asp?doccatid=678&locid=165](http://publicrecordsboard.wi.gov/Docs_by_cat_type.asp?doccatid=678&locid=165)

If you need further assistance, contact your agency records officer or the DOA Records Management Section at 266-2996 or 266-2770.